

Form PTO-1390

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

P26459

#4

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371U.S. APPLICATION NO. (If known, see 37 CFR 1.5)
10/518,377INTERNATIONAL APPLICATION NO.
PCT/KR2003/01279INTERNATIONAL FILING DATE
28 June 2003PRIORITY DATE CLAIMED
29 June 2002

TITLE OF INVENTION

HANSENULA POLYMORPHA YAPSIN DEFICIENT MUTANT STRAIN AND PROCESS FOR THE PREPARATION OF
RECOMBINANT PROTEINS USING THE SAME

APPLICANT(S) FOR DO/EO/US

Hyun-Ah KANG, Sang-Ki RHEE, Min-Jeong SOHN and Jeong-Yoon KIM

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.

1. ☐ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (23) indicated below.
4. ☐ The US has been elected (PCT Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154 (d) (4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 22 below concern other document(s) or information included:

11. Assignee: Korea Research Institute of Bioscience and Biotechnology, of Daejeon, REPUBLIC OF KOREA, LeadBio, Inc., of Daejeon, REPUBLIC OF KOREA and BioHoldings Co., Ltd., of Daejeon, REPUBLIC OF KOREA.
12. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
13. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
14. ☐ A FIRST preliminary amendment.
☒ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ An Application Data Sheet under 37 C.F.R. 1.76.
16. ☐ A substitute specification.
17. ☐ A power of attorney and/or change of address letter.
18. ☐ Figure of Drawing to be published:
19. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.
(with paper copy/written of the Same)
20. ☐ A second copy of the published international application under 35 U.S.C. 154 (d) (4).
21. ☐ A second copy of the English language translation of the international of the international application under 35 U.S.C. 154 (d) (4).
22. ☒ Other items or information:
Cover Letter.
Response To Notification To Comply With Requirements For Patent Applications Containing Nucleotide And/Or Amino Acid Sequence Listing and Supplemental Preliminary Amendment.
Statement That The Content Of The Paper And Computer Readable Are the Same.
Copy of form PCT/DO/EO/992 (Notification to Comply Requirements).

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|---|--|-------------------------------|--|--------------------------|--|
| U.S. APPLICATION NO. (If known, see 37 CFR 1.5) | | INTERNATIONAL APPLICATION NO. | | ATTORNEY'S DOCKET NUMBER | |
| 10/518,377 | | PCT/KR2003/001279 | | P26459 | |

| | | | | | |
|--|--------------|---|------------|-----------------------|--------------|
| | | | | CALCULATIONS | PTO USE ONLY |
| 23 <input type="checkbox"/> The following fees are submitted: | | | | | |
| Basic national fee.....300.00 | | | | \$0.00 | |
| 24 <input type="checkbox"/> Examination Fee | | | | \$0.00 | |
| If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33 (1)-(4).....100.00 | | | | | |
| All other situations.....200.00 | | | | | |
| 25 <input type="checkbox"/> Search fee | | | | \$0.00 | |
| Search fee (37 CFR 1.445(a) (2)) has been paid on the international application to the USPTO as an International Searching Authority.....100.00 | | | | | |
| International Search Report prepared and provided to the Office.....400.00 | | | | | |
| All other situations.....500.00 | | | | | |
| TOTAL 23, 24 and 25 = | | | | \$0.00 | |
| <input type="checkbox"/> Additional Fee for Specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in electronic medium). The fee is \$250.00 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | |
| -100= | /50 = | | x \$250.00 | \$0.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)). | | | | \$0.00 | |
| Claims | Number Filed | Number Extra | Rate | | |
| Total Claims | - 20 = | | x \$50.00 | \$0.00 | |
| Independent Claims | - 3 = | | x \$200.00 | \$0.00 | |
| Multiple Dependent Claim(s) (if applicable) | | | + \$360.00 | \$0.00 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$0.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$0.00 | |
| SUBTOTAL = | | | | \$0.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (i)). | | | | \$0.00 | |
| Extension of Time fee in the amount of \$ | | | | \$0.00 | |
| TOTAL NATIONAL FEE = | | | | \$0.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | \$0.00 | |
| TOTAL FEES ENCLOSED = | | | | \$0.00 | |
| | | | | Amount to be refunded | \$ |
| | | | | Charged | \$ |

a. ☐ A check in the amount of \$_____ to cover the above fees is included.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees.

c. ☒ The U.S. Patent and Trademark Office is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0089.

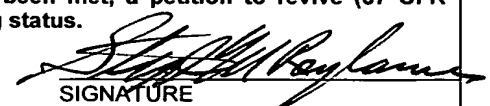
d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO CUSTOMER NO. 07055
AT THE PRESENT ADDRESS OF:

Bruce H. Bernstein
GREENBLUM & BERNSTEIN, P.L.C.
1950 Roland Clark Place
Reston, VA 20191
(703) 716-1191

Stephen M. Roylance
Reg. No. 31,296


SIGNATURE

Bruce H. Bernstein
NAME

29,027
REGISTRATION NUMBER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Hyun-Ah KANG et al.

Mail Stop PCT

Appl. No: : 10/518,377 (National Stage of PCT/KR03/01279)

PCT Branch

I. A. Filed : December 28, 2004

For : TITLE OF INVENTION: HANSENULA POLYMORPHA YAPSIN
DEFICIENT MUTANT STRAIN AND PROCESS FOR THE
PREPARATION OF RECOMBINANT PROTEINS USING THE SAME

COVER LETTER

Mail Stop PCT

U.S. Patent and Trademark Office

Customer Service Window, Mail Stop PCT

Randolph Building

401 Dulany Street

Alexandria, VA 22314

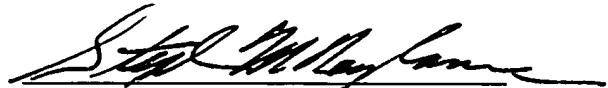
Sir:

In response to the Notification To Comply With Requirements For Patent Applications Containing Nucleotide And/Or Amino Acid Sequence Disclosures of the International Application (copy attached) of April 5, 2005, the period for response being set to expire June 6, 2005 (being that June 5, 2005 falls on a Sunday), please find enclosed:

- a Response to Notification to comply with Requirements for Patent Applications Containing Nucleotide And/Or Amino Acid Sequence Listing and Supplemental Preliminary Amendment;
- a Statement That The Content Of The Paper And Computer Readable Are the Same;
- a Diskette containing sequence listing, with paper copy/written of the same (including 10 pages);

The U.S. Patent and Trademark Office is hereby authorized to charge any additional fees, or credit any overpayment to Deposit Account No. 19-0089.

Respectfully submitted,
Hyun-Ah KANG et al.



Bruce H. Bernstein
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Stephen M. Roylance
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June 6, 2005
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UNITED STATES PATENT AND TRADEMARK OFFICE

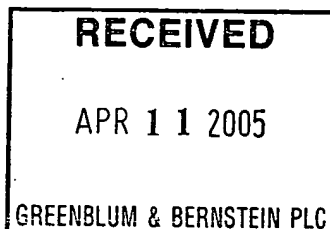
UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

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|---|---------------------------------------|----------------------------|
| U.S. APPLICATION NUMBER NO. 10/518,377 | FIRST NAMED APPLICANT Hyun-Ah Kang | ATTY. DOCKET NO. P26459 |
|---|---------------------------------------|----------------------------|

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| INTERNATIONAL APPLICATION NO. PCT/KR03/01279 |
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|-------------------------------|-----------------------------|
| LA. FILING DATE 06/28/2003 | PRIORITY DATE 06/29/2002 |
|-------------------------------|-----------------------------|

7055
 GREENBLUM & BERNSTEIN, P.L.C.
 1950 ROLAND CLARKE PLACE
 RESTON, VA 20191



CONFIRMATION NO. 7630
 371 FORMALITIES LETTER
 OC000000015648831
 OC000000015648831

Date Mailed: 04/05/2005

NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (571) 272-0951
- For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.

- Send e-mail correspondence for Patent Software Program Help @ ebc@uspto.gov

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

SHAKEEL AHMED

Telephone: (703) 308-9140 EXT 208

PART 1 - ATTORNEY/APPLICANT COPY

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/518,377 | PCT/KR03/01279 | P26459 |

FORM PCT/DO/EO/922 (371 Formalities Notice)